

SEP 27 2006

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TO: Commissioner for Patents (Mail Stop AF)  
USPTO FACSIMILE NO. (571) 273-8300  
USPTO REFERENCE: Applicant: Malackowski et al.  
Serial No.: 09/814,547  
Filed: March 22, 2006  
Title: SYSTEM FOR AND METHOD OF RISK  
MINIMIZATION AND ENHANCED RETURNS IN  
AN INTELLECTUAL CAPITAL BASED VENTURE  
INVESTMENT  
ATTORNEY: William B. Bunker, Esq. / Tom Yee, Esq.  
PHONE NO.: (949) 760-0404  
ATTORNEY DOCKET NO.: OTOM.014A  
TOTAL PAGES: 89 (INCLUDING COVER SHEET)  
DOCKETING AGENT: Renee Farris, IP Assistant  
DATE: September 27, 2006

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MESSAGE: **Attached for filing in the above-referenced application are:**

**RESPONSE TO FINAL OFFICE ACTION AND AMENDMENT**

2521677/rf  
041306

San Diego  
619-235-8550

San Francisco  
415-954-4114

Los Angeles  
310-551-3450

Riverside  
951-781-9231

San Luis Obispo  
805-547-5580

PAGE 1/9 \* RCVD AT 9/27/2006 8:31:39 PM [Eastern Daylight Time] \* SVR:USPTO-EFAX-3/14 \* DNIS:2738300 \* CSID:949 760 9502 \* DURATION (mm-ss):02:50

**BEST AVAILABLE COPY**

Docket No.: OTOM.014A

SEP 27 2006

Page 1 of 2

Please Direct All Correspondence to Customer Number 20995

## AMENDMENT / RESPONSE TRANSMITTAL

Applicant : James E. Malackowski et al.  
 App. No : 09/814,547  
 Filed : March 22, 2001  
 For : SYSTEM FOR AND METHOD OF  
 RISK MINIMIZATION AND  
 ENHANCED RETURNS IN AN  
 INTELLECTUAL CAPITAL BASED  
 VENTURE INVESTMENT  
 Examiner : Kesack, Daniel  
 Art Unit : 3624

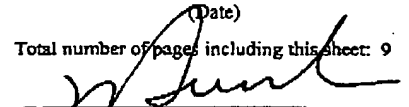
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September 27, 2006

(Date)

Total number of pages including this sheet: 9

  
 William B. Bunker, Reg. No. 29,365

## Mail Stop AF

Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

Sir:

Transmitted herewith for filing in the above-identified application are the following enclosures:

(X) Response to Final Office Action and Amendment in 6 pages.

The fee has been calculated as shown below:

The present application qualifies for Small Entity Status under 37 CFR 1.27.

FEE CALCULATION						
FEE TYPE				FEE CODE	CALCULATION	TOTAL
Excess Claims	6	-	22 = 0	2202 (\$25)	0 x 25 =	\$0
Excess Independent	1	-	3 = 0	2201 (\$100)	0 x 100 =	\$0
Multiple Claim			1.16(j)	2203 (\$180)		\$0
1 Month Extension			1.17(a)(1)	2251 (\$60)		\$
2 Month Extension			1.17(a)(2)	2252 (\$225)		\$
3 Month Extension			1.17(a)(3)	2253 (\$510)		\$
Information Disclosure Statement Fee			1.17(p)	1806 (\$180)		\$
TOTAL FEE DUE						\$0

Docket No.: OTOM.C14A

September 27, 2006

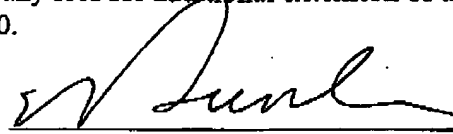
App. No.: 09/814,517

Page 2 of 2

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Please charge any additional fees, including any fees for additional extension of time, or credit overpayment to Deposit Account No. 11-1410.



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William B. Bunker  
Registration No. 29,365  
Attorney of Record  
Customer No. 20,995  
(949) 760-0404

2970208 / rf  
092706

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OTOM.014A

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant	:	James E. Malackowski et al.
Appl. No.	:	09/814,547
Filed	:	March 22, 2001
For	:	SYSTEM FOR AND METHOD OF RISK MINIMIZATION AND ENHANCED RETURNS IN AN INTELLECTUAL CAPITAL BASED VENTURE INVESTMENT
Examiner	:	KESACK, DANIEL
Group Art Unit	:	3624

## Response To Final Office Action And Amendment

**Mail Stop AF**  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

In response to the Office Action mailed on July 27, 2006, please amend the above-captioned application as shown on the following pages:

**Amendments to the Claims** are reflected in the listing of claims which begins on page 2 of this paper.

**Remarks/Arguments** begin on page 5 of this paper.